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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> |  | <b>Attorney Docket No.</b><br>100725-38 / Kreisler 1109-Regular | <b>First Inventor</b><br>Jost SEIBLER et al | <b>Title</b><br>SiRNA Mediated Gene Silencing in Transgenic Animals | <b>Express Mail Label</b><br>EV328768207US |
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| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>ADDRESS TO:</b><br>Mail Stop Patent Application<br>Commissioner for Patents<br>P. O. Box 1450<br>Alexandria VA 22313-1450 |
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|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original, and a duplicate for fee processing)</i><br>2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.<br>3. <input checked="" type="checkbox"/> Specification <span style="float: right;">[Total Pages <b>24</b>]</span><br><i>(preferred arrangement set forth below)</i><br>- Descriptive title of the invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table,<br>or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">[Total Sheets <b>8</b>]</span><br>5. Oath or Declaration <span style="float: right;">[Total Pages <b>1</b>]</span><br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 18 completed)</i><br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting inventor(s)<br>named in the prior application, see 37 CFR<br>1.63(d)(2) and 1.33(b).<br>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)<br>8. Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i><br>a. <input checked="" type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input checked="" type="checkbox"/> Paper<br>c. <input checked="" type="checkbox"/> Statements verifying identity of above copies |
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| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,<br>or in an Application Data Sheet under 37 CFR 1.76:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____<br>Prior application information: Examiner _____ Group / Art Unit: _____<br><b>For CONTINUATION OR DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied<br>under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by<br>reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts. | <b>ACCOMPANYING APPLICATION PARTS</b><br>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><i>(when there is an assignee)</i><br>11. <input type="checkbox"/> English Translation Document (if applicable)<br>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS<br>Citations<br>13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i><br>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i><br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122<br>(b)(2)(B)(i). Applicant must attach form PTO/SB/35<br>or its equivalent.<br>17. <input checked="" type="checkbox"/> Other: Express Mail Certificate |
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| <b>19. CORRESPONDENCE ADDRESS</b>   |  |
| <input checked="" type="checkbox"/> Customer Number: <span style="border: 1px solid black; padding: 5px; display: inline-block; width: 150px; text-align: center;">27384</span> | or <input type="checkbox"/> Correspondence address below |

|                |                                  |                  |              |                 |              |
|----------------|----------------------------------|------------------|--------------|-----------------|--------------|
| <b>Name</b>    | KURT G. BRISCOE                  |                  |              |                 |              |
|                | NORRIS McLAUGHLIN & MARCUS, P.A. |                  |              |                 |              |
| <b>Address</b> | 220 EAST 42ND STREET             |                  |              |                 |              |
|                | 30TH STREET                      |                  |              |                 |              |
| <b>City</b>    | NEW YORK                         | <b>State</b>     | NY           | <b>Zip Code</b> | 10017        |
| <b>Country</b> | USA                              | <b>Telephone</b> | 212-808-0700 | <b>Fax</b>      | 212-808-0844 |

|  |   |
|--|---|
| <b>Name (Print/Type)</b> KURT G. BRISCOE | <b>Registration No. (Attorney/Agent)</b> 33,141 |
| <b>Signature</b>                         | <b>Date</b> 10-15-03                            |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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22141 U.S. PTO

10/685837



101503

**FEE TRANSMITTAL  
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) **\$950.00****Complete if Known**

|                      |                                    |
|----------------------|------------------------------------|
| Application Number   | To Be Assigned                     |
| Filing Date          | Herewith                           |
| First Named Inventor | Jost SEIBLER et al                 |
| Examiner Name        | To Be Assigned                     |
| Group Art Unit       | To Be Assigned                     |
| Attorney Docket No.  | 100725-38 / Kreialer 1109- Regular |

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number

141263

Deposit  
Account  
Name

Norris McLaughlin &amp; Marcus

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 750      | 2001         | 375      | Utility filing fee     | 770.00   |
| 1002         | 330      | 2002         | 165      | Design filing          |          |
| 1003         | 520      | 2003         | 260      | Plant filing fee       |          |
| 1004         | 750      | 2004         | 375      | Reissue filing         |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | (\$)     |

**2. EXTRA CLAIM FEES FOR UTILITY AND**

| Extra Claims       |           | Fee from below |           | Fee Paid |
|--------------------|-----------|----------------|-----------|----------|
| Total Claims       |           |                |           |          |
| 30                 | -20** =   | 10             | X 18.00 = | 180.00   |
| Independent Claims | 3 - 3** = | 0              | X 86.00 = | 0.00     |
| Multiple Dependent |           |                | 0.00 =    | 0.00     |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) **\$180.00**

\*\*or number previously paid, if greater; For Reissues, see above.

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**


| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130      | 1053         | 130      | Non - English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253         | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254         | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255         | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401         | 320      | 2401         | 160      | Notice of Appeal   |          |
| 1402         | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403         | 280      | 2403         | 140      | Request for oral hearing   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453         | 1,300    | 2453         | 650      | Petition to revive - unintentional   |          |
| 1501         | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |          |
| 1502         | 470      | 2502         | 235      | Design issue fee   |          |
| 1503         | 630      | 2503         | 315      | Plant issue fee  |          |
| 1460         | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Statement                             |          |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 750      | 2810         | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \_\_\_\_\_

**SUBMITTED BY**

|                   |   |                                   |          |           |              |
|-------------------|---|-----------------------------------|----------|-----------|--------------|
| Name (Print/Type) | KURT G. BRISCOE   | Registration No. (Attorney/Agent) | 33,141   | Telephone | 212-808-0700 |
| Signature         |  | Date                              | 10-15-02 |           |              |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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APPLICANT: Jost SEIBLER, et al

TITLE: SiRNA Mediated Gene Silencing in Transgenic Animals

**EXPRESS MAIL CERTIFICATE**

“Express Mail” mailing label number EV 328768207 US

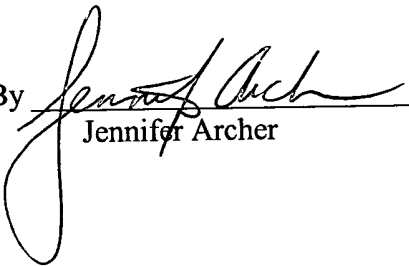
Date of Deposit October 15, 2003

I hereby certify that the following items:

1. Utility Patent Application Transmittal
2. Application Data Sheet (4 pages)
3. Fee Transmittal in duplicate **CHARGE DEPOSIT ACCOUNT**
4. Specification consisting of Description (pages 1-19); 30 Claims (pages 20 – 23); Abstract (page 24); 8 Sheets of Drawings; Sequence Listing (pages 1-83)
5. Transmittal of Formal Drawings (8 Sheets)
6. Statement Regarding Sequence Listing
7. Diskette containing Sequence Listing
8. Return Receipt Postcard

are being deposited with the United States Postal Services “Express Mail Post Office to Addressee” service under 37 CFR 1.10 on the date indicated above and is addressed to the: Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

NORRIS, McLAUGHLIN & MARCUS, P.A.

By  \_\_\_\_\_  
Jennifer Archer

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO. : To Be Assigned  
APPLICANTS : Jost SEIBLER et al  
FILED : Herewith  
TITLE : SiRNA Mediated Gene Silencing in Transgenic Animals  
ART UNIT : To Be Assigned  
EXAMINER : To Be Assigned

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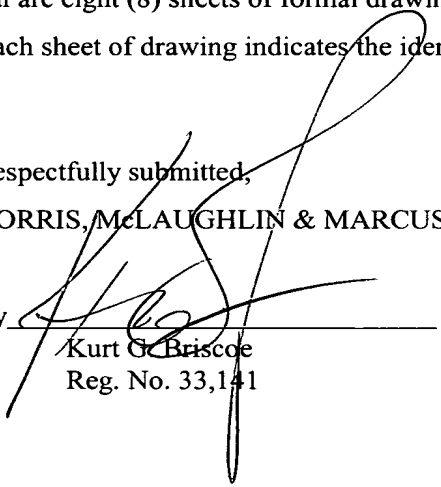
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL OF FORMAL DRAWINGS

Sir:

Submitted herewith for entry and approval are eight (8) sheets of formal drawings (Fig. 1 - Fig. 13B) in the above-referenced application. Each sheet of drawing indicates the identifying indicia suggested in 37 CFR § 1.84(c).

Respectfully submitted,  
NORRIS, McLAUGHLIN & MARCUS, P.A.

By   
Kurt G. Briscoe  
Reg. No. 33,141

KGB/ja  
Attachments: - Formal Drawings (8 sheets)

220 East 42<sup>nd</sup> Street - 30<sup>th</sup> Floor  
New York, New York 10017  
Phone: (212) 808-0700  
Fax: (212) 808-0844

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Services as express mail in an envelope addressed to Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

By   
Jennifer Archer

Date October 15, 2003